

Information Technology Risk Profile Script Questionnaire

Financial Institution Name: _____

Charter #: _____

Name and Title of Person Completing This Questionnaire: _____

Core Processing

1. Do any external service providers (including affiliated organizations) process any core banking applications (for example: loans, deposits, or general ledger)?

Yes ☐ No ☐

If Yes, list the servicer's name and applications serviced.

_____	_____
_____	_____
_____	_____
_____	_____

2. Are any core banking applications (for example: loans, deposits, or general ledger) processed on in-house computer systems? [Note: a yes response to both 1 and 2 is possible in some situations.]

Yes ☐ No ☐

If Yes, list the vendor, software product name, and applications processed.

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

3. Has your financial institution changed any core applications or service providers in the last year?

Yes ☐ No ☐

4. Does your financial institution have an in-house funds transfer system such as wire transfer or ACH?

Yes ☐ No ☐

5. Are any item processing activities (for example: proof, sort, capture) performed in-house?

Yes ☐ No ☐

Networking

1. Does your financial institution have a network(s)? (Networks may be broadly defined as connections between workstations, branches, servers, or other communication devices. Most institutions will be yes.)

Yes ☐ No ☐

[If No, you may proceed to the E-Banking Section.]

If Yes, which network operating system(s) is installed?

- ☐ Novell
☐ Unix
☐ Windows _____
☐ Other _____

2. If Yes to question 1, is the network critical to your financial institution's operations? (This question is subjective, but will usually be answered "yes" if critical systems, such as the mainframe, must be accessed through the network.)

Yes ☐ No ☐

If Yes, which critical operations require networking? (Examples may include internal communications, teller systems, or data storage.)

_____	_____
_____	_____
_____	_____

3. Does your financial institution's network connect to the Internet or any other "open-access" networks such as wireless? (Evidence of Internet connectivity may include email, web server, web browsing.)

Yes ☐ No ☐

4. Are branches (if any) or other entities networked to the main office/data center?

Yes ☐ No ☐

5. Is the core processing system physically connected to the network?

Yes ☐ No ☐

6. If No to question 5, is sensitive (confidential) information stored anywhere on the network?

Yes ☐ No ☐

E-Banking

1. Does your financial institution have an informational web site? (Informational is generally thought of as static content web pages used for marketing and differentiated from deposit account access and other functional applications.)

Yes ☐ No ☐

Please provide the Web site address (URL): http://_____

2. If your financial institution has an informational web site (yes to question 1), is the computer system hosted in-house?

Yes ☐ No ☐

If a web site is hosted externally, please list the service provider name.

_____	_____
_____	_____
_____	_____

3. Are transactional E-Banking (or Internet-based) products offered? (Transactional usually means that funds can be transferred between different accounts, or sent to other parties – other definitions may apply.)

Yes ☐ No ☐

Please check all E-Banking/Internet products offered. (Indicate whether transactional/non-transactional.)

- ☐ Statement review
- ☐ Inter-account transfers
- ☐ Electronic bill payment
- ☐ Electronic bill presentment
- ☐ Telephone or PC banking
- ☐ On-line credit applications/approvals
- ☐ On-line electronic funds transfer (wire transfer/ACH)
- ☐ Trust
- ☐ Stock trading
- ☐ Account aggregation
- ☐ Email via web page
- ☐ Wireless account access (example: browser-enabled cell phone or wireless PDA)
- ☐ Other _____

4. Are any E-Banking applications hosted on an in-house computer system? (For example: items listed in question #3.)

Yes ☐ No ☐

If Yes, please list the name of the software vendors.

_____	_____
_____	_____

If an E-Banking application is hosted externally, please list the service provider name.

_____	_____
_____	_____

Other

1. Does your financial institution have programming staff?

Yes ☐ No ☐

If Yes, what applications are maintained, developed, or supported internally?

_____	_____
_____	_____
_____	_____

2. Does your financial institution provide any data processing services for others?

Yes ☐ No ☐

3. If Yes to question 2, does your financial institution perform core processing for other insured financial institutions (including affiliates)?

Yes ☐ No ☐

4. Does your financial institution provide Internet services to others? Services may include Internet access similar to an Internet Service Provider (ISP), or application hosting similar to an Application Service Provider (ASP).

Yes ☐ No ☐

5. Have there been any changes in key IT management or personnel since the previous examination?

Yes ☐ No ☐

If Yes, which positions?

_____	_____
_____	_____
_____	_____

Data Processor Information

1. List what EDP system your financial institution uses, address, number and contact person.

Name:

Address:

Phone Number:

Contact Person:

Please complete and e-mail this questionnaire to OFISCU_Exams@michigan.gov or sent to:

**Office of Financial and Insurance Services
Information Technology Financial Institutions Manager
611 West Ottawa Street
P.O. Box 30224
Lansing, Michigan 48909-7724**

Authorized by PA 276 of 1999, as amended, PA 354 of 1996, as amended and by PA 285 of 1925, as amended. Failure to complete and submit this form by the deadline requested could result in a fine for each day of delinquency.

Visit OFIS on the Web at:
www.michigan.gov/ofis



Michigan Department of Consumer & Industry Services
"Serving Michigan... Serving You"



Phone OFIS toll-free at:
1-877-999-6442

The Department of Consumer & Industry Services will not discriminate against any individual or group because of race, sex, religion, age, national origin, color, marital status, political beliefs or disability. If you need help with reading, writing, hearing, etc., under the Americans with Disabilities Act, you may make your needs known to this agency.